

CHAPTER VI

SUPPORT FOR CASE REVIEW

1. Introduction. This chapter provides instruction for uniform selection-of random case samples to be reviewed and instruction about entering data into-the Regional Office BAM Federal Monitoring System which will subsequently generate reports to provide both the Regional Office and National Office with information on case review workloads and investigative exceptions. The chapter also includes information about the review of case reopening activity and National office sampling of cases for rereview.

Material in this chapter is presented in the following order:

- selection of a random sample of completed cases for Regional Office review;
- recording of case review findings in the Regional Office BAM Federal Monitoring System;
- information available on the status of a Region's case review workload;
- information available on exceptions identified by a Region in the case review process;
- review of SESA reopenings of BAM completed cases;
- random selection of cases for National office rereview.

The following BAM program review reports, in facsimile form, are presented in this chapter:

- Case Activity Report
- Regional Office Exception Report

2. Case Review Sample Selection. Each year Regional Office staff are responsible for reviewing a specified number of all the cases that are investigated by the SESA BAM Unit. The sampling process and method of selection are described below.

a. Process. Each Regional Office is responsible for review ing a minimum of 40 cases per year for each State in the Region; at least 20 of these cases must be reviewed on site. To ensure that these cases are representative of the annual workload, the following requirements must be observed. If the reviews are done quarterly, at least 10 cases must be done each quarter; if semiannually, each review must include at least 20 cases and the

reviews must occur in non-consecutive quarters. Other than these requirements, the Ros have flexibility to design their process of case reviews.

The Regions may conduct "mail-in" reviews at the Regional Offices if the following conditions are met:

- the SESA concurs with this method of case review;
- the Region reviews at least 20 cases on-site (this may be at least 20 cases in one visit, or at least 10 each in two or three visits); and
- the Region establishes appropriate internal controls to ensure that its off-site reviews are completed and the findings are reported to the SESA within 14 calendar days.

b. Instructions for Selecting the Regional Samples. The sample selection option is found on the Case Management Menu in the Regional Monitoring System. ET Handbook No. 404 provides detailed instructions for using this function. Selecting the sample selection option from the case management menu will display a screen that shows case availability as of the date of selection back to the previous sample selection. For each State in the Region, it shows new cases available and previously sampled pending cases, not reviewed cases, and reopened cases. It also shows the number of cases closed by the Region since the beginning of the year. A sub-screen shows the quarterly distribution of cases previously sampled by State during the calendar year. These screens provide introductory information designed to help determine the number of cases which should be sampled. From either of these screens a State code can be entered which will pull up a Regional Monitor Sample Selection screen for that State. The number of cases to be randomly sampled from the pool of available cases can now be entered. The lower half of this screen also provides the opportunity to select the DCI, Monitor Discussion Report, and Case Review Report for each case.

Planning is necessary with the automated system because once the Regional Monitor enters the number of cases to be sampled the selection is final. The sampling frame of available cases gets adjusted to the date of the most recent sample selection, so after the sample selection is made there are no more cases available for review until additional cases are closed and entered into the system by the SESA. Monitors should review case availability and coordinate the review with the SESA prior to sample selection.

6. Review of SESA Case Reopenings. Case reopenings are transactions that are closely related to timely completion of BAM case investigations and to the integrity of BAM data generated by the SESAs. BAM case management methodology provides the option of reopening cases, when necessary, to change or correct a completed case. BAM software provides the SESA with "reopening codes" to use to indicate in the database why it is necessary to take such actions.

Regional staff can now review SESA case reopening activity on an ongoing basis. Both the Case Activity Report and the Reopen History Report will provide information about cases that have been reopened. Regional staff will need to review cases coded as being reopened to ensure States are using reopen codes properly. Particular attention will be needed for cases which were reopened as a result of Federal monitoring, but were not part of the Regional sample. The use of _ Code 5 is allowed for any case which is reopened as a result of Federal monitoring.

7. Selection of Cases for Rereview by National Office Monitor. The cases for rereview by National Office monitors will be selected by random sample of available cases, i.e., those cases which have been reviewed by a Regional Office monitor. The sample will be selected by the National Office.

The sample selected will be representative of Regional Office case review monitoring even though it will not be large enough to allow reliable statistical inferences from the data. Information generated will be sufficient to determine the integrity of the SESA data and to meet the objectives of National Office oversight. Only closed cases, that is cases with Disposition Code 1, 2 or 3, will be selected for review.